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THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Chih Hsin Wang

Group Art Unit: 2812

Serial No.: 09/916,619

Examiner: Not yet assigned

Filed: July 26, 2001

Title: **SELF ALIGNED METHOD OF FORMING  
A SEMICONDUCTOR MEMORY ARRAY OF  
FLOATING GATE MEMORY CELLS WITH  
CONTROL GATE SPACERS, AND A MEMORY  
ARRAY MADE THEREBY**

I hereby certify that this paper is being deposited with the United States Postal Service at first class mail in an envelope addressed to: Commissioner of Patents, Washington, DC 20231 on December 4, 2001.

Kathleen LaBrie  
Kathleen LaBrie 12/4/2001

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INFORMATION DISCLOSURE STATEMENT

Commissioner of Patents  
Washington, DC 20231

Dear Sir:

Applicant submits herewith patents, publications or other information [attached hereto and listed on the attached Form PTO-1449 (modified)] of which he is aware, which he believes may be material to the examination of this application and in respect of which there may be a duty to disclose in accordance with 37 CFR § 1.56.

This Information Disclosure Statement:

- (a) ☐ accompanies the new patent application submitted herewith. 37 CFR § 1.97(a).
- (b) ☐ is filed within three months after the filing date of the application or within three months after the date of entry of the national stage of a PCT application as set forth in 37 CFR § 1.491.
- (c) ☒ as far as is known to the undersigned, is filed before the mailing date of a first Office Action on the merits.
- (d) ☐ is filed after the first office action and more than three months after the application's filing date or PCT national stage date of entry filing but, as far as is known to the undersigned, prior to the mailing date of either a final rejection or a notice of allowance, whichever occurs first and is accompanied by either the fee (\$180) set for in 37 CFR § 1.17(p) or a certification as specified in 37 CFR § 1.97(e), as checked below.

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(e) ☐ is filed after the mailing date of either a final rejection or a notice of allowance, whichever occurred first, and the Issue Fee has not been paid, and is accompanied by the fee (\$130) set forth in 37 CFR § 1.17(i)(1) and a certification as specified in 37 CFR § 1.97(e), as checked below. This document is to be considered as a petition requesting consideration of the information disclosure statement.

[If either of boxes (d) or (e) are checked above, the following "certification" under 37 CFR § 1.97(e) may need to be completed.] The undersigned certifies that:

(f) ☐ Each item of information contained in the information disclosure statement was cited in a communication mailed from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this information disclosure statement.

(g) ☐ No item of information contained in this information disclosure statement was cited in a communication mailed from a foreign patent office in a counterpart foreign application or, to the knowledge of the undersigned after making reasonable inquiry, was known to any individual designated in 37 CFR § 1.56(c) more than three months prior to the filing of this information disclosure statement.

A list of the patent(s) or publication(s) is set forth on the attached Form PTO-1449 (Modified).

A copy of the items on PTO-1449 (Modified) is supplied herewith:

(h) ☒ each (i) ☐ none (j) ☐ only those listed below:

Those patent(s) or publication(s) which are marked with an asterisk (\*) in the attached form PTO-1449 (Modified) are not supplied because they were previously cited by or submitted to the Office in a prior application no. , filed and relied upon in this application for an earlier filing date under 35 U.S.C. § 120.

A concise explanation of relevance of the items listed on form PTO-1449 (Modified) is:

(k) ☒ not given

(l) ☐ given for each listed item

(m) ☐ given for only non-English language listed item(s) [Required]

(n) ☐ is in the form of an English language copy of a Search Report from a foreign patent office, issued in a counterpart application, which refers to the relevant portions of the references [copy attached].

The Examiner is reminded that a "concise explanation of the relevance" of the submitted items "may be nothing more than identification of the particular figure or paragraph of the patent or publication which has some relation to the claimed invention," MPEP § 609.

While the information and references disclosed in this Information Disclosure Statement may be "material" pursuant to 37 CFR § 1.56, it is not intended to constitute an admission that any patent, publication or other information referred to therein is "prior art" for this invention unless specifically designated as such.


In accordance with 37 CFR § 1.97(g), the filing of this Information Disclosure Statement shall not be construed to mean that a search has been made or that no other material information as defined in 37 CFR § 1.56(a) exists. It is submitted that the Information Disclosure Statement is in compliance with 37 CFR § 1.98 and MPEP § 609 and the Examiner is respectfully requested to consider the listed references.

[X] The Commissioner is hereby authorized to charge our Deposit Account No. 07-1896 for any fees required in connection with the filing of this Information Disclosure Statement. A duplicate copy of this Notice is enclosed for this purpose. In particular, in the event that an Office Action has crossed in the mail with this Information Disclosure Statement, the Commissioner is authorized to charge the above-named deposit account for any fees required pursuant to CFR § 1.17(p) or 1.17(i)(1).

Respectfully submitted,

GRAY CARY WARE & FREIDENRICH LLP

Date: December 4, 2001

By   
Alan A. Limbach, Reg. No. 39,749  
Attorney for Assignee

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|--|-------------------------------------|--------------------------|
| Form PTO-1449<br>U.S. DEPT. OF COMMERCE<br>Patent and Trademark Office<br><br>INFORMATION DISCLOSURE CITATION<br>(Use several sheets if necessary) | Atty. Docket No.:<br>2102397-910600 | Serial No.: 09/916,619   |
|  | Applicant: Chih Hsin Wang           |                          |
|  | Filing Date: July 26, 2001          | Group Art Unit: Not 2812 |

## U.S. PATENT DOCUMENTS

| Examiners<br>Initials | Patent Number | Date       | Name           | Class | Subclass | Filing Date |
|-----------------------|---------------|------------|----------------|-------|----------|-------------|
|                       | 5,029,130     | 07/02/91   | Yeh            |       |          |             |
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|                       | 6,222,227 B1  | 04/24/2001 | Chen           |       |          |             |
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|  |                  |
|--|------------------|
| Examiner:  | Date Considered: |
| EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP '609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to the applicant. |                  |



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|   |                                  |                        |
|---|----------------------------------|------------------------|
| Form PTO-1749<br>DEPT. OF COMMERCE<br>Patent and Trademark Office<br><br>INFORMATION DISCLOSURE CITATION<br>(Use several sheets if necessary) | Atty. Docket No.: 2102397-910600 | Serial No.: 09/916,619 |
|   | Applicant: Chih Hsin Wang        |                        |
|   | Filing Date: July 26, 2001       | Group Art Unit: 2812   |

## FOREIGN PATENT DOCUMENTS

|  | Document number | Date     | Country | Class | Sub-class | Translation |    |
|--|-----------------|----------|---------|-------|-----------|-------------|----|
|  |                 |          |         |       |           | YES         | NO |
|  | EP 0 389 721 A2 | 10/03/90 | Europe  |       |           |             |    |
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|  |                 |          |         |       |           |             |    |

## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

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| Examiner:  | Date Considered: |
| EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP '609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to the applicant. |                  |